

CONNECTICUT BROKER-DEALER SUPPLEMENT

GENERAL

1. Exact Name of Broker-dealer Applicant as Stated in Item 1 of Form BD:

2. Applicant's IRS Employer Identification Number: _____
3. Applicant's CRD Number: _____
4. Connecticut law provides that no broker-dealer may be registered without the registration of at least one broker-dealer agent. To expedite our processing of your firm's application, you may wish to list the name(s) and CRD number(s) of the agent(s) applying for Connecticut registration through the CRD System here:

Name

CRD Number

CERTIFICATION CONCERNING PRE-EXISTING CLIENTS

- [] The undersigned certifies, on behalf of the aforementioned applicant for broker-dealer registration, that, during the two year period immediate preceding the date of its Connecticut broker-dealer application, the applicant has not transacted business as a broker-dealer in Connecticut, and, if the applicant is based in Connecticut, that the applicant has not transacted business as a broker-dealer in Connecticut or from Connecticut with persons located in another jurisdiction.
- [] The undersigned certifies, on behalf of the aforementioned applicant for broker-dealer registration, that, during the two year period immediately preceding the filing of its Connecticut broker-dealer application, the applicant (you may check more than one box):
- [] Has transacted business as a broker-dealer in Connecticut.
- [] Is based in Connecticut and has transacted business as a broker-dealer from Connecticut with persons located in another jurisdiction.

Attach a Separate Schedule Providing the Following Information and Documents:

- * Each customer's name and address
- * The date(s) the transactions were effected
- * Copies of written confirmations and monthly statements
- * How each customer was introduced to the broker-dealer
- * How each client was introduced to the applicant
- The names and CRD numbers of the agent(s) who handled each transaction
- The exclusion or exemption, if any, under the Connecticut Uniform Securities Act upon which the applicant relied in transacting business with each customer

CERTIFICATION CONCERNING STATEMENTS OF FINANCIAL CONDITION

The undersigned certifies, on behalf of the aforementioned applicant for broker-dealer registration, that the statement(s) of financial condition submitted in connection with such application pursuant to Section 36b-9 of the Connecticut Uniform Securities Act are, to the best of the applicant's own knowledge true, and that neither the principal, nor any member, partner, officer or director of the applicant, as the case may be, has any proprietary interest in any account classified solely as that of a customer except as follows:

UNDERTAKING NOT TO TRANSACT BUSINESS AS A BROKER-DEALER ABSENT REGISTRATION

The undersigned undertakes, on behalf of the aforementioned applicant for broker-dealer registration, that the applicant will not transact business as a broker-dealer in or from Connecticut until effectively registered as a broker-dealer in this state.

EXECUTION SECTION

The undersigned, being duly sworn, does hereby certify, on behalf of the aforementioned applicant for broker-dealer registration under the Connecticut Uniform Securities Act that he or she is authorized to execute this Connecticut Broker-dealer Supplement on behalf of the applicant and that the information contained herein, including any schedules and supplements included herewith, is complete, true and accurate.

Print Name of Signatory: _____

Title: _____

Subscribed and sworn to before me this

_____ day of _____ 20_____.

Notary Public/Commissioner of the Superior Court
My Commission Expires: